



07-06-09

JFW 4/10/05

**TRANSMITTAL  
FORM**

Application Number	09/465,336
Filing Date	December 17, 1999
First Named Inventor	Vincent Ching Ping Li
Title	Method for Charting Financial Market Activities
Group Art Unit	3627
Examiner Name	Rena Dye
Attorney Docket Number	HKPC/196/US

**ENCLOSURES**

- ☐ Response to Office Action ☐ Preliminary Amendment
- ☐ Information Disclosure Statement ☒ Postcard reflecting enclosures
- ☒ Other: RCE Submission Under 37 CFR §1.114

☒ It is hereby petitioned that any required extension of time be granted for filing the amendment. An extension of 3 month(s) having a fee of \$ 475.00 appears required.

☒ A check in the amount of \$ 385.00 is attached. Please credit any overpayment to Deposit Account 16-2563 of Alix, Yale & Ristas, LLP.

The Commissioner is hereby requested and authorized to charge Deposit Account 16-2563 of Alix, Yale & Ristas, LLP for any fee, not enclosed herewith, due for any reason in connection with the amendment or this or any other document accompanying the amendment, including (a) any filing fees under 37 CFR 1.16 for the presentation of extra claims and (b) any patent application processing fees under 37 CFR 1.17. *A duplicate copy of this sheet is attached.*

**SIGNATURE OF APPLICANT, ATTORNEY OR AGENT**

Firm or Individual name Guy D. Yale Reg. No. 29,125

Signature [Signature]

Date July 2, 2004 Attorney's Docket No. HKPC/196/US

**EXPRESS MAIL Mailing Label Number****EV390694567US**

I, Talisha L. Cooper, hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" Service under 37 CFR 1.10 on July 2, 2004 and is addressed to "Mail Stop RCE, Commissioner for Patents, United States Patent and Trademark Office, P.O. Box 1450, Alexandria, Virginia 22313-1450."

Typed or Printed Name Talisha L. Cooper Date July 2, 2004

Signature [Signature]



RCE Submission Under 37 C.F.R. §1.114  
Examining Group 3627  
ATTORNEY DOCKET NO. HKPC/196/US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: Vincent Ching Ping Li and Raymond Chong  
Application Number: 09/465,336 Group/Art Unit 3627  
Filed: 12/17/1999 Examiner: Rena Dye  
Title: Method for Charting Financial Market Activities

Mail Stop: RCE  
Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**RCE SUBMISSION UNDER 37 C.F.R. §1.114**

As a submission under 37 CFR §1.114, and in response to the Office Action, dated January 2, 2004, Applicant respectfully requests entry and consideration of the following Amendments and Remarks. Please amend the above-identified Application as follows:

Amendments to the claims are reflected in the listing of the claims beginning on page 2;

Amendments to the drawing begin on page 11;

Remarks begin on Page 12 of this paper.

Attorney's Ref: HKPC/196/US

1

I hereby certify that this correspondence is being deposited on the date below with the United States Postal Service as first class mail in an envelope addressed to "Mail Stop RCE, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450".

Signature: \_\_\_\_\_

Guy D. Yale

Reg. No.: 29,125

Date: July 2, 2004

07/08/2004 RMBRAHT 00000085 09465336 385.00 DP  
01 FC:2801  
07/08/2004 RMBRAHT 00000085 09465336 475.00 DP  
02 FC:2253